

## TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT

(Under 37 CFR 1.97(b) or 1.97(c))

Docket No.

16169.6

In Re Application Of:

Ishii, et al.

Application No.

10/532,550

Filing Date

4/22/2005

Examiner

Not Yet Assigned

Customer No

022913

Group Art Unit

Not Yet Assigned

Confirmation No.

Not Yet Assigned

## Title:

GLASS SUBSTRATE FOR INFORMATION RECORDING MEDIUM AND METHOD FOR MANUFACTURING THE SAME

Address to:

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

## 37 CFR 1.97(b)

1. ☒ The Information Disclosure Statement submitted herewith is being filed within three months of the filing of a national application other than a continued prosecution application under 37 CFR 1.53(d); within three months of the date of entry of the national stage as set forth in 37 CFR 1.491 in an international application; before the mailing of a first Office Action on the merits, or before the mailing of a first Office Action after the filing of a request for continued examination under 37 CFR 1.114.

## 37 CFR 1.97(c)

2. ☐ The Information Disclosure Statement submitted herewith is being filed after the period specified in 37 CFR 1.97(b), provided that the Information Disclosure Statement is filed before the mailing date of a Final Action under 37 CFR 1.113, a Notice of Allowance under 37 CFR 1.311, or an Action that otherwise closes prosecution in the application, and is accompanied by one of:

☐ the statement specified in 37 CFR 1.97(e);

OR

☐ the fee set forth in 37 CFR 1.17(p).

**TRANSMITTAL OF INFORMATION DISCLOSURE STATEMENT**  
(Under 37 CFR 197(b) or 1.97(c))

**Docket No.**  
**16169.6**

**In Re Application Of:**

Ishii, et al.

|                                      |                                 |                                     |                              |   |   |
|--------------------------------------|---------------------------------|-------------------------------------|------------------------------|---|---|
| <b>Application No.</b><br>10/532,550 | <b>Filing Date</b><br>4/22/2005 | <b>Examiner</b><br>Not Yet Assigned | <b>Customer No</b><br>022913 | <b>Group Art Unit</b><br>Not Yet Assigned | <b>Confirmation No.</b><br>Not Yet Assigned |
|--------------------------------------|---------------------------------|-------------------------------------|------------------------------|---|---|

**Title:**  
GLASS SUBSTRATE FOR INFORMATION RECORDING MEDIUM AND METHOD FOR MANUFACTURING THE SAME

**Payment of Fee**

(Only complete if Applicant elects to pay the fee set forth in 37 CFR 1.17(p))

- ☐ A check in the amount of \$ \_\_\_\_\_ is attached.
- ☒ The Director is hereby authorized to charge and credit Deposit Account No. 23-3178 as described below.
- ☐ Charge the amount of \$ \_\_\_\_\_
- ☒ Credit any overpayment.
- ☒ Charge any additional fee required.
- ☐ Payment by credit card. Form PTO-2038 is attached.

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\_\_\_\_\_  
Signature

Dated: July 31, 2005

cc: R. Burns Israelsen  
Attorney for Applicants  
Registration No. 42,685

08-01-05

PCG

**CERTIFICATE OF MAILING BY "EXPRESS MAIL" (37 CFR 1.10)**

Applicant(s): Ishii, et al.

Docket No.  
16169.6

Application No.  
10/532,550

Filing Date  
04/22/2005

Examiner  
Not Yet Assigned

Customer No  
022913

Group Art Unit  
Not Yet Assigned

**Invention:**

GLASS SUBSTRATE FOR INFORMATION RECORDING MEDIUM AND METHOD  
FOR MANUFACTURING THE SAME

I hereby certify that the following correspondence:

(see below)

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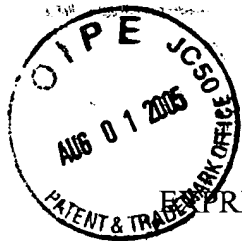
Information Disclosure Statement (2 pages with 3 attachment)

Information Disclosure Statement Transmittal (2 pages)

Information Disclosure Statement Citation (2 pages)

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EXPRESS MAIL NO. EV 657809088 US

PATENT APPLICATION  
Docket No: 16169.6

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

|                      |  |   |                  |
|----------------------|--|---|------------------|
| In re application of |  | ) |                  |
|                      | Ishii, et al.  | ) |                  |
| Serial No.:          | 10/532,550   | ) | Art Unit         |
| Confirmation No.:    | Not Yet Assigned   | ) | Not Yet Assigned |
| Filed:               | April 22, 2005   | ) |                  |
| For:                 | GLASS SUBSTRATE FOR INFORMATION<br>RECORDING MEDIUM AND METHOD<br>FOR MANUFACTURING THE SAME | ) |                  |

INFORMATION DISCLOSURE STATEMENT  
UNDER 37 C.F.R. § 1.97

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

Please find, pursuant to 37 C.F.R. § 1.98(a)(1), the enclosed Form PTO-1449 which contains a list of all patents, publications, or other items that have come to the attention of one or more of the individuals designated in 37 C.F.R. § 1.56(c). While no representation is made that any of these references may be "prior art" within the meaning of that term under 35 U.S.C. §§ 102 or 103, the enclosed list of references is disclosed so as to fully comply with the duty of disclosure set forth in 37 C.F.R. § 1.56.

Moreover, while no representation is made that a specific search of office files or patent office records has been conducted or that no better art exists, the undersigned attorney of record

believes that the enclosed art is the closest to the claimed invention (taken in its entirety) of which the undersigned is presently aware, and no art which is closer to the claimed invention (taken in its entirety) has been knowingly withheld.

In accordance with 37 C.F.R. §§ 1.97 and 1.98, a copy of each of the listed references or relevant portion thereof is also enclosed.

The accompanying Form PTO-1449 notifies the Examiner of the specified related pending U.S. patent applications listed therein. This notice is not an admission that the claims of the present application and the claims of the specified related pending patent applications are substantially similar or that the specified related applications represent prior art with respect to the present application.

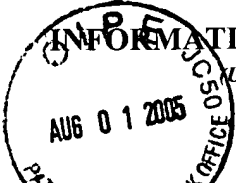
Please credit any over payment or charge any additional fees to Deposit Account No. 23-3178 of the undersigned. -

DATED July 31, 2005.

Respectfully submitted,



R. Burns Israelsen  
Attorney for Applicant  
Registration No. 42,685  
Customer No. 022913

|   |  |   |
|---|--|---|
|  <p style="text-align: center;"><b>INFORMATION DISCLOSURE CITATION</b><br/><i>(Use several sheets if necessary)</i></p> | Docket number (Optional)<br><b>16169.6</b> | Application Number<br><b>10/532,550</b>   |
|   | Applicant(s)<br><b>Ishii, et al.</b>       |   |
|   | Filing Date<br><b>4/22/2005</b>            | Group Art Unit<br><b>Not Yet Assigned</b> |

| U.S. PATENT DOCUMENTS |     |                 |            |               |       |          |                               |
|-----------------------|-----|-----------------|------------|---------------|-------|----------|-------------------------------|
| *EXAMINER<br>INITIAL  | REF | DOCUMENT NUMBER | DATE       | NAME          | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|                       |     | 6,491,572       | 12/10/2002 | Horie, et al. | 451   | 63       | 10/10/2000                    |
|                       |     |                 |            |               |       |          |                               |
|                       |     |                 |            |               |       |          |                               |
|                       |     |                 |            |               |       |          |                               |
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|                       |     |                 |            |               |       |          |                               |
|                       |     |                 |            |               |       |          |                               |
|                       |     |                 |            |               |       |          |                               |

| U.S. PATENT APPLICATION PUBLICATIONS |     |                 |            |               |       |          |                               |
|--------------------------------------|-----|-----------------|------------|---------------|-------|----------|-------------------------------|
| *EXAMINER<br>INITIAL                 | REF | DOCUMENT NUMBER | DATE       | NAME          | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|                                      |     | 2002/0127432    | 09/12/2002 | Saito, et al. | 428   | 694      | 12/17/2001                    |
|                                      |     |                 |            |               |       |          |                               |
|                                      |     |                 |            |               |       |          |                               |
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|                                      |     |                 |            |               |       |          |                               |
|                                      |     |                 |            |               |       |          |                               |

| FOREIGN PATENT DOCUMENTS |     |                 |            |         |       |          |             |    |
|--------------------------|-----|-----------------|------------|---------|-------|----------|-------------|----|
|                          | REF | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUBCLASS | Translation |    |
|                          |     |                 |            |         |       |          | YES         | NO |
|                          |     | 2002/251716     | 06/09/2002 | JP      |       |          |             |    |
|                          |     | 2001/341058     | 12/11/2001 | JP      |       |          |             |    |
|                          |     | 5/342532        | 12/24/1993 | JP      |       |          |             |    |
|                          |     |                 |            |         |       |          |             |    |
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|                          |     |                 |            |         |       |          |             |    |

|          |                 |
|----------|-----------------|
| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP Section 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

